

Andrew Cuomo, Secretary

1997 Application for

Housing
Opportunities for
Persons with
AIDS (HOPWA)

Competitive

Information is submitted in accordance with the regulatory authority contained in each program rule. The information will be used to rate applications, determine eligibility, and to establish grant amounts.

Selection of applications for funding under the Housing Opportunities for Persons with AIDS (HOPWA) program are based on rating factors listed in the Notice of Fund Availability (NOFA), which is published each year to announce the HOPWA funding round. The information collected in the application form will only be collected for specific funding competitions.

Public reporting burden for this collection of information is estimated to average 44 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Paperwork Reduction Project (2506-0133), Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600.

Do not send this form to the above address.

This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

To the extent that any information collected is of a confidential nature, there will be compliance with Privacy Act requirements. However, the HOPWA program application does not request the submission of such information.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Housing Opportunities for Persons with AIDS Program (HOPWA) Application

Instructions

- 1. Selection.** Applications will be competitively selected for funding under a process using selection criteria described in the 1997 Notice of Funding Availability (NOFA) for Housing Opportunities for Persons With AIDS. If you are successful in this competition, you may be asked to provide additional information in order to execute your grant.
- 2. Assembling the Application.** To help us expedite the review of your application, please assemble in the order shown in the Checklist of Exhibits. Attach the completed and signed Standard Form 424 to the front of your application. Ensure that *all four exhibits and certifications are complete and included*.
After the entire application is assembled, please mark each exhibit with an appropriately numbered tab and number every page of the application sequentially.
- 3. Application tips.** In developing your application we want to help you avoid problems that could hamper your ability to move forward or qualify. Here are a few tips:
 - If a structure you plan to use in your project currently has occupants, you need to be aware of complex relocation requirements. Please contact your HUD Field Office Relocation Specialist, or an experienced government relocation agency in the planning stage of your project.
 - Mitigation of environmental problems can potentially be very expensive and time-consuming. Factors to consider especially are the presence of lead-based paint (particularly if you are proposing to serve families with children) and asbestos.
 - Please respond to the elements of this application within the page limits and other instructions provided for each exhibit. Letters of support or other information that might be provided as attachments are *not* requested and will *not* be reviewed as part of this competition.

Housing Opportunities for Persons with AIDS Program (HOPWA) Application

Checklist of Exhibits

Please insert page numbers

- ☐ Abstract (See note below)
- ☐ Exhibit 1 Project Coordination and Planning
- ☐ Exhibit 2 Proposed Project
- ☐ Exhibit 3 Applicant Information
- ☐ Exhibit 4 Budget
- ☐ Statutory Certifications (Required by law)
- ☐ Evaluation by Customer (Optional)

Note: Project Abstract. At your option, provide on no more than one double-spaced, typed page an abstract of the proposed project for use as a press release if the project is chosen for funding. In the abstract, include the name of the applicant; how much HOPWA funding is being requested; the name of the proposed project; a short synopsis of the project including defining features, where it is located and how many people will be served over the entire period of the grant when it is operational; and a contact name and phone number.

Exhibit 1:

Project Coordination and Planning

On no more than five double-spaced, typed pages describe how this project fits within community strategies involving local, metropolitan, or State-wide planning and coordination of housing programs designed to meet the changing needs of persons with HIV/AIDS and their families such as the linkage of housing assistance with health-care and other supportive services in area continuum of care efforts. Include:

A. Coordination. Describe how the proposed activities are coordinated with:

- State and local government agencies responsible for providing State or locally funded assistance and services to persons with HIV/AIDS;
- Government agencies and nonprofit organizations that are administering the Ryan White CARE Act and other related Federal programs; and
- Nonprofit Organizations and other entities providing privately-funded and volunteer efforts to assist eligible persons.

B. Consultation. Describe the efforts to consult with:

- community-based nonprofit organizations which are experienced in caring for persons with HIV/AIDS;
- organizations which represent persons with HIV/AIDS; and
- persons living with HIV/AIDS and their families.

C. Ongoing efforts. Describe the efforts to ensure the continuation of the coordination, planning and consultation during the planned operating period.

Exhibit 2:

Proposed Project

A. Category of Assistance.

 Check only one of the following eight boxes:

Category 1: Special Projects of National Significance

- ☐ State application for a special project of national significance
☐ Unit of general local government application for a special project of national significance
☐ Nonprofit organization application for a special project of national significance

Category 2: HIV Multiple-Diagnoses Initiative (MDI)

- ☐ State application for a MDI grant
☐ Unit of general local government application for a MDI grant
☐ Nonprofit organization application for a MDI grant

Category 3: Projects which are part of long-term comprehensive strategies for providing housing and related services

 (See NOFA Appendix B for eligibility)

- ☐ Project submitted by a State that did not qualify for a formula award
☐ Project submitted by a local government in an area that did not qualify for a formula award

B. Duplication of Assistance Requested.

 Please indicate if the applicant or a project sponsor is seeking funding under this HOPWA competition for an activity that is duplicated in an application under the HUD Continuum of Care Homeless Assistance 1997 competition as follows:

- ☐ A proposed HOPWA activity is identical and ***duplicates funding*** requested in an application for HUD continuum of care funding;
☐ A proposed activity is related but ***not identical*** to the requested funding.
☐ No related assistance is being requested.

C. Summary of Persons Assisted.

 Please provide best estimates in the following table:

1. Number of persons with HIV/AIDS who will receive some form of housing assistance	Full Grant Period:
2. Number of family members of the above who will be residing with the person receiving housing assistance	
3. Number of persons with HIV/AIDS who will only be receiving some form of supportive services (persons receiving both services and housing are reported in item 1 above)	

D. Service Area.

 Please identify the intended service area, i.e., the name of the community or metropolitan area, or, if activities are planned for a state-wide or nation-wide basis:

- ☐ Please check if the activities will be carried out in an area that has been designated an Empowerment Zone, an Enterprise Community, a Supplemental Empowerment Zone or an Enhanced Enterprise Community, by HUD or the Department of Agriculture and priority placement will be given to eligible persons whose last know address was within the designated area or who are homeless persons living on the streets or in shelters within the designated area.

Sites. For projects involving sites, for example, a structure where HOPWA funds will be used for new construction, acquisition, rehabilitation, operating costs, and/or project-based rental assistance, please attach or provide the address of the project site.

Photo. Please attach a photograph of the structure (except for new constructions).

E. Project Plan.

On no more than eight double-spaced, typed pages describe the project for which funding is being requested. In your description, include the parts of the project that will be funded from other sources and, for applications with project sponsors, describe the proposal activities of any project sponsors that will be carrying out program activities.

- Describe how selection procedures will determine that project participants meet the HOPWA requirement of being low-income persons with HIV/AIDS and the family of such persons.
- Describe the housing needs of eligible persons in the community and how the proposed activities of the project will respond to the changing housing and supportive service needs of participants, including: describing how outreach activities will be provided, including assessing the needs of participants; offering a personalized response to individual needs which maximizes opportunities for independent living; providing for participant involvement in decision-making and project operations; ensuring participant safety; providing for transportation needs; ensuring access to community amenities; and, in the case of a family, accommodating the needs of the family.
- Describe how the housing and other structures to be provided will meet accessibility requirements, and, optionally, may provide housing that is visitable by persons with mobility impairments.
- Describe how the project will provide for monitoring and the evaluation of the assistance provided to participants including the roles of participants, the grantee, sponsors and/or other entities..

In addition, provide the following, as appropriate:

- For MDI applicants, for the area to be served, describe the unmet needs of the targeted population of persons who are homeless and living with HIV/AIDS who experience serious mental illness and/or have chronic alcohol and/or other drug abuse issues and how proposed activities are responsive to these unmet needs.
- If applying for a SPNS or long-term grant, describe how the project provides for the evaluation and the dissemination of information on the success of the proposed activities.
- For projects providing housing assistance, estimate the number of separate living units and the number of bedrooms and beds to be provided.
- For projects proposing a safe haven, describe how activities will provide for the stabilization of clients, the availability of basic services in the safe haven, and linkage to other assistance.
- For projects proposing technical assistance and resource identification activities, describe how the proposed activities will respond to the technical assistance needs of programs which provide housing and related supportive services for eligible persons. Describe how the proposed activities relate to the development and operation of programs and the capacity of organizations to undertake and manage assistance for eligible persons.
- For projects requesting to continue the operations of activities that were previously funded under a HOPWA competitive grant or funded by formula funds in an area that is not currently eligible for a formula allocation, describe the program successes of the activities that would be continued under the 1997 proposal including information to evidence that previous HOPWA-funded activities have been carried out and funds have been used in a timely manner, that benchmarks, if any, in program development and operation have been met, and that the number of persons assisted is comparable to the number that was planned at the time of application.

F. Performance Measures.

All applicants should establish and describe performance goals that are important in developing the proposed project as well as performance measures (i.e. specific, achievable and time-limited statements) for obtaining these goals. These goals and measures will be the basis for the project evaluation and establish the nature of possible findings that would be disseminated to the benefit of other projects.

G. Special Projects of National Significance (only)

For applicants applying for assistance for a special project of national significance, on no more than three double-spaced typed pages:

- Describe the innovative nature of the project, including how the project involves a new or alternative method of meeting the needs of eligible persons, how the innovation will result in a beneficial effect and why it is of national significance; and
- Describe how the project feature is exemplary and appropriate as a model for replication in other similar localities or nationally.

H. HIV Multiple-Diagnoses Initiative (only)

For applicants applying for an HIV Multiple-Diagnoses Initiative grant, on no more than three double-spaced typed pages:

- Describe the innovative nature of the project, including how the project involves a new or alternative method of meeting the needs of the targeted population of eligible persons, how the innovation will result in a beneficial effect and why it is of national significance;
- Describe how the project feature(s) is exemplary and appropriate as a model for replication in other similar localities or nationally; and
- MDI Applicants must certify participation in the HUD evaluation component (See Statutory Certifications, item C.).

I. 1996 MDI Grantee's Contract Modifications (only)

A current MDI grantee may also apply for up to \$50,000 in additional funds to be used in completing, modifying and expanding the planned evaluation of project performance and dissemination of information on project outcomes and in acquiring the services of the Evaluation Technical Assistance Center. An applicant under this paragraph is required to submit: (a) a signed SF-424; (b) a signed HOPWA Applicant Certifications (see Statutory Certifications item B); and (c) a letter or other written document of approximately one page that requests an amount (up to \$50,000) and describes the applicant's need for and plan to use the additional funds to complete, modify and/or expand the planned program development and evaluation efforts under its 1996 award.

An eligible applicant under this paragraph, i.e. an entity that was selected for a MDI award under the 1996 HOPWA NOFA, is not required to resubmit their program plan or other required documentation from their 1996 application.

Exhibit 3:

Applicant Information

A. Experience Narrative

For the applicant and any project sponsor, please describe, preferably on not more than four (4) double-spaced, typed pages, the following:

1. Experience in serving persons with HIV/AIDS and their families.
2. Experience in programs similar to those proposed in the application, including:
 - Housing Assistance. For applicants proposing to use HOPWA funds or other funds for acquiring, constructing, rehabilitating, leasing, and/or operating a housing facility, or operating a rental assistance program, describe experience in carrying out the same type of activity;
 - Supportive Services. For applicants providing supportive services, describe experience in undertaking or managing activities related to providing supportive services; and
 - Technical Assistance. For applicants proposing technical assistance or resource identification activities, describe experience related to assisting the development and operation of programs and the capacity of organizations to undertake and manage assistance to eligible persons.
3. Experience in monitoring and evaluating program performance.
4. Experience with any HOPWA grants or other HUD community development and/or homeless assistance grants by the applicant or a sponsor.

B. Non-profit Status (For each nonprofit applicant and project sponsor)

For applications that involve nonprofit organizations that are either the applicant/grantee or a project sponsor, for each nonprofit organization, the application must provide either:

- (a) a copy of the Internal Revenue Service (IRS) ruling that provides tax exempt status for the organization under Sec. 501(c)(3) of the IRS Code; or
- (b) alternative documentation, noted below, that shows that the organization satisfies the criteria provided by the statutory definition of non-profit organization found at 42 USC 12902 (13).

Organizations which have not received this IRS notification as of the application due date, or which can not satisfy the alternative documentation as of that date, cannot serve as a grantee or as a project sponsor.

The statutory definition 42 USC 12902 (13) reads: “The term **nonprofit organization** means any nonprofit organization (including a State or locally chartered, nonprofit organization) that-- (A) is organized under State or local laws; (B) has no part of its net earnings inuring to the benefit of any member, founder, contributor, or individual; (C) complies with standards of financial accountability acceptable to the Secretary; and (D) has among its purposes significant activities related to providing services or housing to persons with acquired immunodeficiency syndrome or related diseases.” The Department interprets the words related diseases to include HIV infection.

Alternative Documentation. The Department interprets this definition to include the following:

- (a) in lieu of a IRS exemption for nonprofits in Puerto Rico, a ruling from the Treasury Department of the Commonwealth of Puerto Rico granting income tax exemption under Section 101 of the Income Tax Act of 1954, as amended (13 LPRA 3101);
- (b) that documentation of an IRS ruling of tax exempt status under Sec. 501(c)(4), (6), (7), (9) or (19) is acceptable in lieu of the Sec. 501(c)(3) documentation; and

(c) that in lieu of the IRS ruling, a nonprofit organization may provide documentation to evidence that it satisfies the statutory definition; HUD would consider as satisfactory the submission of all of the following four items:

- (1) a certification by the appropriate official of the jurisdiction under whose laws the nonprofit organization was organized, that the organization was so organized and is in good standing;
- (2) documentation showing that the organization is a certified United Way member agency or other documentation that shows that no inurement of benefits will occur;
- (3) documentation from a CPA or Public Accountant that the organization has a functioning accounting system that is operated in accordance with generally acceptable accounting principles or that a qualifying entity is designated for that activity, or the United Way member agency certification noted in item 2; and
- (4) a certified copy of the nonprofit organization's articles of incorporation, by-laws, statement of purposes, board of director's resolution or a similar document which includes a provision demonstrating its purpose regarding significant activities for persons living with HIV/AIDS.

Please note that, if an nonprofit organization does not provide the requested documentation, the organization would **not be eligible** to receive funds and serve as the grantee or as a project sponsor. However, that organization could collaborate with eligible nonprofit organizations (e.g. which have the 501(c)(3) designation) or with a government agency that applies for the grant and assist them, for example, in planning for the proposed activities, identifying needs in the community and identifying clients who will be assisted. Eligible grantees and project sponsors may also contract out services that are funded by this grant.

Exhibit 4: Budget

A. Project Summary Budget

Instructions: Enter the amount of HOPWA funds requested for each eligible activity in the appropriate column. For example, if the project proposes to acquire a building to be used for SRO units, the amount of HOPWA funds involved should be entered in the “SRO Dwellings” column across from line 1 “Acquisition.” If an eligible activity is not associated with a particular type of housing, the “Non-Housing Based Activities” column should be used. Shaded boxes indicate that HOPWA funds cannot be used for these purposes.

Eligible Activities For more detail, consult § 574.300-.340 of the program regulations	Short Term Facilities	SRO Dwellings	Community Residences	Other Housing	Non-Housing Based Activities	SubTotals by Activity
1. Acquisition						
2. Rehab/Conversion/Repair						
3. Lease						
4. New Construction						
5. Operating Costs						
6. Technical Assistance						
7. Supportive Services Associated With Housing						
8. Supportive Services Not Associated With Housing						
9. Housing Information						
10.Resource Identification						
11.Rental Assistance						
12.Short Term Rent, Mortgage, & Utility Payments						
13.Sub Totals by type of housing/non-housing sum of lines 1-12 (* not to exceed \$1 million)						*
14.Grantee's Administrative Expenses (not to exceed 3% of subtotal line 13) (see attached worksheet)						
15.Project Sponsor's Administrative Expenses (not to exceed 7% of subtotal line 13) (see attached worksheet)						
16.For HIV Multiple-Diagnoses Initiative projects only: add \$170,000						
17.Total HOPWA Funds Requested (sum of lines 13 - 16)						

Worksheet on Administrative Cost (optional; not required to be filed with the application)

Applications that involve project sponsors are encouraged to fill out the following worksheet to determine the allowable amount of HOPWA funds available for administrative costs of the grantee and the project sponsor(s). The worksheet is intended for the applicant's use in order to reduce the number of budget corrections that have been experienced in prior competitions on this subject. The worksheet is not required to be filed with the application.

Part 1. Grantee administrative costs.

- a. Defined.** The grantee under this HOPWA competition is the entity that applies to HUD for these program funds, for example, the entity that signs the SF-424 and the application certifications. This entity, a State, local government or nonprofit organization, when selected, will assume the responsibilities of administration of the HOPWA projects as provided by the statute, regulations and the grant agreement with HUD.
- b. Limits.** A grantee may not use more than 3 percent of the grant amount for its own administrative costs. The NOFA establishes that the maximum amount that an applicant may receive is \$1,000,000 for program activities (e.g. the housing assistance, supportive services, program development activities that benefit participants) to be used during a three year operating period. In this example, an applicant as the grantee may receive up to an additional \$30,000 for grantee administrative costs, if the maximum amount for program activities is requested.

Please make the following calculation:

a. Amount requested for program activities: (the subtotal from line 13 of Exhibit 4)	\$
b. Multiply by three percent	x 0.03
c. Equals the maximum amount available for grantee administrative costs	= \$
d. Amount being requested in this application (enter the amount from line "c" or a lesser amount) and enter this amount on line 14:	\$

Background note. In cases where the grantee directly carries out the program activities, no additional administrative costs are available for those activities. Applicants should note that the costs of staff that are carrying out the program activities may be included in those program activity costs and that costs may be prorated between categories as may be appropriate. Non-federal funds may also be used for this purpose and may be counted toward leveraging under part B of this exhibit.

Part 2. Project Sponsor(s) administrative costs.

- a. Defined.** A project sponsor under this HOPWA competition is an entity, other than the applicant/grantee, that is designated by the applicant/grantee to participate in their proposal and receive HOPWA competitive funds to carry out HOPWA eligible activities. A project sponsor may be a nonprofit organization or a government housing agency, i.e. an agency that has provided some form of housing or residential assistance to clients (see 24 CFR 574.3).

b. Limits. The NOFA establishes that the maximum amount that an applicant may receive is \$1,000,000 for program activities (e.g. the housing assistance, supportive services, program development activities that benefit participants) to be used during a three year operating period. A project sponsor may receive up to an additional seven percent (7%) of the amount of the program activity funds that this project sponsor receives for administrative costs. For example, if a sponsor will receive \$200,000 for program activities, that sponsor could request up to \$14,000 for its administrative costs.

Please make the following calculation for *each* project sponsor:

a. Name of this project sponsor:	
b. Of the amount requested for program activities (the subtotal from line 13 of Exhibit 4), the amount that is designated for activities to be carried out by this project sponsor:	\$
c. Multiply by seven percent	x 0.07
d. Equals the maximum amount available for this project sponsor's administrative costs	= \$
e. Amount being requested in this application (enter the amount from line "d" above or a lesser amount)	\$

To calculate the total amount for the application request for project sponsor administrative costs:

f. Enter the amounts from line "e" for every project sponsor that is involved in this application (multiple entries are possible):	\$
	\$
	\$
	\$
	\$
g. Add the amounts listed in "f" for the subtotal of project sponsor administrative costs: (enter this subtotal on line 15 of exhibit 4)	sum = \$

Background note. A project sponsor may use up to seven (7) percent of the amount it receives for administrative costs. Only if the maximum amount of program funds is requested and all program activities will be carried out by project sponsors, a maximum amount of \$70,000 would be available for the administrative costs of these sponsors.

This worksheet is optional and it is not required to be filed with the application.

Exhibit 4: Budget (continued)

B. Leveraging

Applicants will receive points to the extent that they document resources that are being brought to the project from other public or private sources. Enter in this chart the cash value of documented cash and in-kind resources from other public (including other Federal) and private sources that are committed to the project during the grant period. Part B is optional in that it is not a required element in determining the technical sufficiency of an application.

Value of Documented Resources

Resource	Page No. of Documentation	Cash Value	HUD Use Only
a. Cash			
b. Non-Cash Resources			
c. Volunteer Time			
d. Contribution of a Building			
e. Contribution of a Building to be Acquired with HOPWA			
f. Contribution of a Leasehold Interest			
Total of all Leveraging		\$	

Supporting Documentation.

To receive leveraging points, applicants need to document the cash value of leveraged resources pledged to the project(s). Appropriate language is described below. Note that HUD will not consider other HOPWA-funded activities, entitlement benefits inuring to eligible persons, or conditioned commitments that depend on future fund-raising or actions.

Applicant or Third Party Cash Resources. If this proposal is funded, (applicant name or third party name) commits \$(amount) (of its own funds, if applicant, or to applicant name, if third party) for (type of activity) to be made available to the HOPWA program. These funds will be available from (date) to (date).

(Signature and Title of authorized representative and date)

Non-Cash Resources. If this proposal is funded, (organization's name) commits to make available (type of resource) valued at \$(amount) to the HOPWA program proposed by (applicant name). These resources will be made available to the HOPWA program from (date) to (date).

(Signature and Title of authorized representative and date)

The donation of a third party professional service should be valued at the professional's customary charge. The value of materials to be contributed to the project by a third party or by the applicant may also be counted as leveraging.

Volunteer Time. If this proposal is funded, (name of the organization or of self), commits to provide (number of hours) of volunteer time from (date) to (date) to provide (type of activity) to the HOPWA program proposed by (applicant name). The total value of these services, based on \$10.00 per hour, is \$(amount).

(Signature and Title, and date)

Time to be contributed to the project by volunteers should be valued at \$10.00 per hour. In the case of individuals volunteering their time directly to the applicant, the applicant should list itself as the organization.

Contribution of a Building. If this proposal is funded, (applicant name) pledges the building at (site address) to the HOPWA program. The building has a fair market value of \$(amount). An appropriate independent third party made this assessment which is based on comparable properties in the area.

(Signature of applicants authorized representative and date)

Ownership of a building or portion of a building to be used in the project may be counted as leveraging. The fair market value of the building or portion of the building being contributed may be counted. Do not send an appraisal to HUD, but keep documentation of fair market value on file. The contribution of land (as a leveraged resource for new construction) should be treated the same as contribution of a building. The applicant will need to keep documentation of the fair market value on file, particularly if it is improved land and the applicant wishes to include the value of the improvements in the contribution.

Contribution of a Building to be Acquired with HOPWA Funds. If this proposal is funded, (applicant name) commits the building at (site address) for the HOPWA program. The building has a fair market value of \$(amount). An appropriate independent third party made this assessment which is based on comparable properties in the area.

The HOPWA request for the building is \$(amount). Therefore, the contribution is the difference between the fair market value and the HOPWA request, or \$(amount).

(Signature of applicants authorized representative and date)

The difference between the documented fair market value and the portion paid for with HOPWA funds may be counted as leveraging. Maintain documentation of fair rental value on file.

Contribution of Leasehold Interest. If this proposal is funded, (applicant name) commits the leasehold interest at (site address) for the HOPWA program. The fair rental value of this site is \$(amount) annually, and at constant value will amount to \$(amount) over (term of the lease, up to three years). An appropriate independent third party made this assessment which is based on comparable properties in the area. The total leasing cost over the term of the lease to be paid with HOPWA funds is \$(amount). Therefore, the contribution is the difference between the HOPWA leasing cost and the fair rental value, or \$(amount).

(Signature of applicants authorized representative and date)

The difference between the fair rental value (for a term up to three years) and the cost of the lease to be paid for with HOPWA funds may be counted as leveraging.

Statutory Certifications

HUD is required by law to obtain certain certifications for funding. *All applications must include signed Applicant Certifications (B)*. Additionally, if appropriate, an application should include a signed Consolidated Plan Certification (A) and/or a signed Applicant Participation in the HIV Multiple-Diagnoses Initiative (C). A signature is also required on the Standard Form 424.

A. Consolidated Plan Certification Requirement

Except as stated below, all applicants must include a Consolidated Plan (hereafter called the plan) certification from the applicable State or local government official responsible for submitting the appropriate plan.

Applicants for projects which will be carried out on a national basis or for projects that are to be located on a reservation of an Indian tribe, Guam, the Virgin islands, American Samoa, or the Northern Mariana Islands are not required to include a Consolidated Plan certification with this application.

Note: One change from prior competitions is that nonprofit applicants are *no longer* exempted from the requirement.

Certification of Consistency with Consolidated Plan

I certify that the proposed activities/projects in the application are consistent with the jurisdiction's current, approved Consolidated Plan.

(Type or clearly print the following information:)

Applicant Name: _____

Project Name: _____

Location of the Project: _____

Name of the
Federal Program
to which the applicant
is applying:

Housing Opportunities for Persons With AIDS Program

Name of
Certifying Jurisdiction: _____

Certifying Official
of the Jurisdiction
Name: _____

Title: _____

Signature & Date: _____

B. HOPWA Applicant Certifications

These certified statements are required by law.

The Applicant hereby assures and certifies that:

1. Within the HOPWA eligible population, it will comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000(d)) and regulations pursuant thereto (Title 24 CFR Part I), which state that no person in the United States shall, on the ground of race, color or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance, and will immediately take any measures necessary to effectuate this agreement. With reference to the real property and structure(s) thereon which are provided or improved with the aid of Federal financial assistance extended to the applicant, this assurance shall obligate the applicant, or in the case of any transfer, the transferee, for the period during which the real property and structure(s) are used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits.

It will comply with the Fair Housing Act (42 U.S.C. 3601-19), as amended, and with implementing regulations at 24 CFR Part 100, which prohibit discrimination in housing on the basis of race, color, religion, sex, handicap, familial status or national origin, and administer its programs and activities relating to housing in a manner to affirmatively further fair housing. For Indian tribes, it will comply with the Indian Civil Rights Act (25 U.S.C. 1301 *et seq.*), instead of Title VI and the Fair Housing Act and their implementing regulations.

It will comply with Executive Order 11063 on Equal Opportunity in Housing and with implementing regulations at 24 CFR Part 107 which prohibit discrimination because of race, color, creed, sex or national origin in housing and related facilities provided with Federal financial assistance.

It will comply with Executive Order 11246 and all regulations pursuant thereto (41 CFR Chapter 60-1), which state that no person shall be discriminated against on the basis of race, color, religion, sex or national origin in all phases of employment during the performance of Federal contracts and shall take affirmative action to ensure equal employment opportunity. The applicant will incorporate, or cause to be incorporated, into any contract for construction work as defined in Section 130.5 of HUD

regulations the equal opportunity clause required by Section 130.15(b) of the HUD regulations.

It will comply with Section 3 of the Housing and Urban Development Act of 1968, as amended (12 U.S.C. 1701(u)), and regulations pursuant thereto (24 CFR Part 135), which require that to the greatest extent feasible opportunities for training and employment be given to lower-income residents of the project and contracts for work in connection with the project be awarded in substantial part to persons residing in the area of the project.

It will comply with Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), as amended, and with implementing regulations at 24 CFR Part 8, which prohibit discrimination based on handicap in Federally-assisted and conducted programs and activities.

It will comply with the Age Discrimination Act of 1975 (42 U.S.C. 6101-07), as amended, and implementing regulations at 24 CFR Part 146, which prohibit discrimination because of age in projects and activities receiving Federal financial assistance.

It will comply with Executive Orders 11625, 12432, and 12138, which state that program participants shall take affirmative action to encourage participation by businesses owned and operated by members of minority groups and women.

If persons of any particular race, color religion, sex, age, national origin, familial status, or handicap who may qualify for assistance are unlikely to be reached, it will establish additional procedures to ensure that interested persons can obtain information concerning the assistance.

It will comply with the reasonable modification and accommodation requirements of the Fair Housing Act and, as appropriate, the accessibility requirements of the Fair Housing Act and section 504 of the Rehabilitation Act of 1973, as amended.

2. It will provide drug-free workplaces in accordance with the Drug-Free Workplace Act of 1988 (41 U.S.C. 701) by:

- (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantees workplace and specifying the actions that will be taken against employees for violation of

- such prohibition;
- (b) establishing an ongoing drug-free awareness program to inform employees about -
 - (1) the dangers of drug abuse in the workplace;
 - (2) the grantees policy of maintaining a drug-free workplace;
 - (3) any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) the penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
 - (1) abide by the terms of the statement; and
 - (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
 - (e) notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
 - (f) taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted -
 - (1) taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
 - (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f);
 - (h) providing the street address, city, county, state, and zip code for the site or sites where the performance of

work in connection with the grant will take place. For some applicants who have functions carried out by employees in several departments or offices, more than one location may need to be specified. It is further recognized that States and other applicants who become grantees may add or change sites as a result of changes to program activities during the course of grant-funded activities. Grantees, in such cases, are required to advise the HUD Field Office by submitting a revised Place of Performance form. The period covered by the certification extends until all funds under the specific grant have been expended.

3. It will comply with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and the implementing regulations at 49 CFR Part 24.

4. It will comply with the environmental laws and authorities at 24 CFR part 50 which implements the National Environmental Policy Act and related acts. The applicant agrees to supply HUD with information necessary for it to perform any necessary environmental review of each property. The applicant will carry out mitigating measures required by HUD or select an alternate eligible property. The applicant will not acquire, rehabilitate, convert, lease, repair or construct property to provide housing or commit HUD, State, local or other funds to program activities with respect to any eligible property until HUD approval is received.

5.

(a) No Federally appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(b) If any funds other than Federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a

Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.

- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and of more than \$100,000 for each such failure.

6. Any building or structure assisted with amounts under this part will be maintained as a facility to provide assistance for eligible persons: (i) for not less than 10 years in the case of assistance involving new construction, substantial rehabilitation or acquisition of a building or structure; and (ii) for not less than three years in cases involving non-substantial rehabilitation or repair of a building or structure.

7. It and its principals (see 24 CFR 24.105(p)):

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions (see 24 CFR 24.110) by any Federal department or agency;
- (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in (b) of this certification; and
- (d) have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

Where the applicant is unable to certify to any of the statements in this certification, such applicant shall attach an explanation behind this page.

HOPWA Applicant Certifications

Signature of Authorized Certifying Official & Date:

X

Title:

Name of Applicant :

For PHA Applicants Only:
PHA Number:

C. Applicant Participation in the HIV Multiple-Diagnoses Initiative

Applications under the HIV Multiple-Diagnoses Initiative must certify with this form that the applicant agrees to fully participate in the HUD evaluation component and thereby requests \$170,000 (\$90,000 for local evaluation activities and \$80,000 to acquire ETAC services) for this component under the Budget (Exhibit 4, line 16).

I ensure and certify that the applicant will participate in the HUD evaluation component and will use the designated program development and evaluation funds for this purpose, with up to \$90,000 to be used for participating in HUD or jointly-sponsored HUD and HHS conferences and for related local costs in developing and operating the proposed evaluation and dissemination activities, and with up to \$80,000 to be used to acquire evaluator services from the Evaluation Technical Assistance Center that was established by HHS in 1996 in connection with HUD's selection of MDI projects in that year. The applicant will make a good faith effort to provide information and assess project performance and collaborate in disseminating information on project outcomes as a model program as selected under the HIV Multiple-Diagnoses Initiative.

Signature of Authorized Certifying Official & Date:

X

Title:

Name of Applicant :

Application for Federal Assistance

Please place at front of application before submission.

OMB Approval No. 0348-0043

		2. Date Submitted	Applicant Identifier																								
1. Type of Submission: Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		3. Date Received by State	State Application Identifier																								
Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		4. Date Received by Federal Agency	Federal Identifier																								
5. Applicant Information																											
Legal Name		Organizational Unit																									
Address (give city, county, State, and zip code): matters		Name, telephone number, and facsimile number of the person to be contacted on involving this application (give area codes)																									
		FAX Number:																									
6. Employer Identification Number (EIN): <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>												7. Type of Applicant: (enter appropriate letter in box) <input type="checkbox"/> <table><tr><td>A. State</td><td>H. Independent School Dist.</td></tr><tr><td>B. County</td><td>I. State Controlled Institution of Higher Learning</td></tr><tr><td>C. Municipal</td><td>J. Private University</td></tr><tr><td>D. Township</td><td>K. Indian Tribe</td></tr><tr><td>E. Interstate</td><td>L. Individual</td></tr><tr><td>F. Intermunicipal</td><td>M. Profit Organization</td></tr><tr><td>G. Special District</td><td>N. Non-profit</td></tr></table> Other (Specify):		A. State	H. Independent School Dist.	B. County	I. State Controlled Institution of Higher Learning	C. Municipal	J. Private University	D. Township	K. Indian Tribe	E. Interstate	L. Individual	F. Intermunicipal	M. Profit Organization	G. Special District	N. Non-profit
A. State	H. Independent School Dist.																										
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E. Interstate	L. Individual																										
F. Intermunicipal	M. Profit Organization																										
G. Special District	N. Non-profit																										
8. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify):		9. Name of Federal Agency: U.S. Department of Housing and Urban Development																									
10. Catalog of Federal Domestic Assistance Number: <table border="1"><tr><td>1</td><td>4</td><td>2</td><td>4</td><td>1</td></tr></table> Title: Housing Opportunities for Persons with AIDS (HOPWA) -- Competitive 1997		1	4	2	4	1	11. Descriptive Title of Applicant's Project:																				
1	4	2	4	1																							
12. Areas Affected by Project (cities, counties, States, etc.):																											
13. Proposed Project: Start Date Ending Date		14. Congressional Districts of: a. Applicant b. Project																									
15. Estimated Funding: (Use Exhibit 4.) <div></div>		16. Is Application Subject to Review by State Executive Order 12372 Process? a. Yes This preapplication/application was made available to the State Executive Order 12372 Process for review on: Date: _____ b. No <input checked="" type="checkbox"/> Program is not covered by E.O. 12372 or <input type="checkbox"/> Program has not been selected by State for review.																									
		17. Is the Applicant Delinquent on Any Federal Debt? <input type="checkbox"/> Yes If "Yes," explain below or attach an explanation <input type="checkbox"/> No																									
18. To the best of my knowledge and belief, all data in this application/preapplication are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.																											
a. Typed Name of Authorized Representative		b. Title	c. Telephone Number																								
d. Signature of Authorized Representative		e. Date Signed																									

Instructions for the SF-424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- Item 1. Self-explanatory.
- Item 2. Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).
- Item 3. State use only (if applicable).
- Item 4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
- Item 5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number and facsimile number of the person to contact on matters related to this application.
- Item 6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
- Item 7. Enter the appropriate letter in the space provided.
- Item 8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:
- "New" means a new assistance award.
 - "Continuation" means an extension for an additional funding budget period for a project with a projected completion date.
 - "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.
- Item 9. Name of Federal agency from which assistance is

being requested with this application.

- Item 10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.
- Item 11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
- Item 12. List the local jurisdiction(s) to be served by the project.
- Item 13. Self-explanatory.
- Item 14. List the applicant's Congressional District and any District(s) affected by the program or project.
- Item 15. Not applicable.
- Item 16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
- Item 17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
- Item 18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

You are our Client!

Your comments and suggestions, please!

In the spirit of reinventing government, as outlined in Vice-President Al Gore's National Performance Review, much attention has been given to streamlining and simplifying the application process. While working within the statutes governing the application and selection process, we have, in preparing this Notice of Funding Availability (NOFA) and application form, tried to produce a more user-friendly, customer driven document. Please let us have your comments and suggestions. You may leave this form attached to your application, or feel free to detach the form and return to us.

Please Provide Comments on HUD's Efforts on Assisting Persons with HIV/AIDS:

The NOFA (please circle one):

- (a) is clear and easily understandable
- (b) better than before, but still needs improvement (please specify)

(c) other (please specify)

The application form (please circle one):

- (a) is acceptable given the volume of information required by statute and the volume of information required for accountability in selecting and funding projects.
- (b) is simpler and more user-friendly than before, but still needs work (please specify).

(c) other comments (please specify)

Name & Organization (Optional):

Attach additional pages as necessary.

